

1762 #5

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT (Under 37 CFR 1.97(b) or 1.97(c))			Docket No. DC4974
In Re Application Of: HWANG et al.			
Serial No. 09/995,985	Filing Date November 19, 2001	Examiner to be assigned	Group Art Unit 1762
Title: COMPOSITIONS AND METHODS FOR FORMING DIELECTRIC LAYERS USING A COLLOID			
Address to: Assistant Commissioner for Patents Washington, D.C. 20231			
37 CFR 1.97(b)			
1. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.			
37 CFR 1.97(c)			
2. <input checked="" type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:			
<input checked="" type="checkbox"/> the statement specified in 37 CFR 1.97(e);			
OR			
<input type="checkbox"/> the fee set forth in 37 CFR 1.17(p).			

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TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

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In Re Application: **HWANG et al.**

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1762

COMPOSITIONS AND METHODS FOR FORMING DIELECTRIC LAYERS USING A COLLOID

Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☐ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. _____ as described below. A duplicate copy of this sheet is enclosed.
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Sharon K. Severance
Signature

Dated: Feb. 25, 2003

Sharon K. Severance, Reg. No. 34,010

IP Dept. - CO1232

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**STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING
INFORMATION DISCLOSURE STATEMENT**

Docket No.
DC4974

In Re Application Of: **HWANG et al.** MAR 04 2003

Serial No.
09/995,985

Filing Date
November 19, 2001

Examiner
to be assigned

Group Art Unit
1762

Invention: **COMPOSITIONS AND METHODS FOR FORMING DIELECTRIC LAYERS USING A COLLOID**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.

Check applicable statement herebelow:

Statement Under 37 CFR 1.97(e)(1)

- ☒ Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

Statement Under 37 CFR 1.97(e)(2)

- ☐ No item of information contained in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

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Sharon K. Severance
Signature

Dated: **2/26/03**

Sharon K. Severance
Phone: (989) 496-8120



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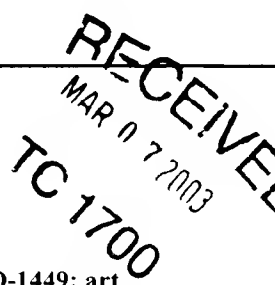
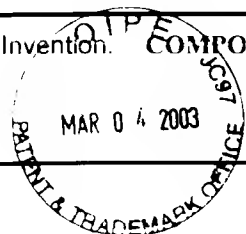
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CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)			Docket No.
Applicant(s): HWANG et al.			DC4974
Serial No. 09/995,985	Filing Date November 19, 2001	Examiner to be assigned	Group Art Unit 1762
Invention. COMPOSITIONS AND METHODS FOR FORMING DIELECTRIC LAYERS USING A COLLOID			
<div></div> <p>I hereby certify that this <u>Transmittal of Info. Disc.; Statement; copy of PCT search report; PTO-1449; art</u> (Identify type of correspondence)</p> <p>is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The</p> <p>Assistant Commissioner for Patents, Washington, D.C. 20231 on <u>February 26, 2003</u> (Date)</p> <p><u>KELLY J. SMITH</u> (Typed or Printed Name of Person Mailing Correspondence)</p> <p><u>Kelly J. Smith</u> (Signature of Person Mailing Correspondence)</p> <p>Note: Each paper must have its own certificate of mailing.</p>			

INFORMATION DISCLOSURE CITATION <i>(Use several sheets if necessary)</i>		Docket Number (Optional) DC4974	Application Number 09/995,985
		Applicant(s) Hwang et al.	
		Filing Date 11/19/2001	Group Art Unit 1762

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		6,444,495	09/03/2002	Leung et al.	438	118	
		6,171,687	01/09/2001	Leung et al.	428	304.4	
		5,300,459	04/05/1994	Ushikubo et al.	437	211	
		4,222,792	09/16/1980	Lever et al.	148	1.5	
		5,869,384	02/09/1999	Yu et al.	438	431	
		4,347,085	08/31/1982	Haselkorn et al.	148	6.16	

FOREIGN PATENT DOCUMENTS

REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
	EP 1 122 770 A2	08.08.2001	EUROPEAN	H01L	21/316		
	EP 0 672 736 A2	20.09.1995	EUROPEAN (& ABSTRACT)	C09D	183/04		
	JP 60148004	05.08.1985	JAPAN	CO9D	1/00		

OTHER DOCUMENTS *(Including Author, Title, Date, Pertinent Pages, Etc.)*

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.